

New York




Entered the Union: 1788


Population (est. 1994):
18,169,000 Rank: 3/50

Land Area (square miles):
47,224 Rank: 30/50

State Historical Records Coordinator:


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ARCHIVES AND RECORDS PROGRAM	FINANCES 
<p>State Archives Established: authorized 1971 opened 1978</p> <p>State Records Management Initiated: 1950, revised 1987</p> <p>Local Records Management Initiated: 1913, revised 1987</p> <p>Archives and Records Management Placement State Education Department, Office of Cultural Education, State Archives and Records Administration (SARA)</p>	<p>Total State Govt Expenditures (1993): \$61,557,640,000</p> <p>Total Budget, Archives and Records Management (FY 1994): \$15,525,000</p> <p>See "Notes" section, below, for program elements included in budget and FTEs.</p> <p>Percent of Total State Expenditures Allocated to Archives and Records: 0.025 %</p> <p>SARA funding has decreased over last 2 years.</p>

STAFFING

State Government FTEs (1992): 267,429	Number of Archives/Records FTEs per 1000 State FTEs: 0.39
Archives & Records FTEs (1994):	Average earnings for all full-time state employees (Oct. 1992): \$37,716 per year
Total 105	Salary ranges for entry level professionals
Archives 32.5	Archivist I \$29,000-35,000
State Govt Records Mgt 30.5	Public Records Mgt Specialist \$29,000-35,000
Local Govt, other external progs 39	
Central administration 3	

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ACCESS TO RECORDS IN STATE ARCHIVES		
Reference services provided (FY 1994) Individual daily visits8,910 Mail requests 3,537 Telephone requests19,406 Reference activity increased over last 2 years.	Arrangement and description activities (FY 1994) Records arranged and described 1,141 cu. ft. 	

Access to Records in State Archives, cont.

Reference services, cont.

Services provided for a fee:

- Photocopies of documents or finding aids
- Typed certified copies or exemplifications
- Vital records and military personnel searches

Fees for searches have been initiated in last 2 years.

FACILITIES



State Archives Building

(owned by state, no rent or maintenance charged to SARA)

Constructed: 1978

Total storage capacity: 50,000 cu. ft.

Percent now occupied: 100%

Already full to capacity

Major renovation proposed

Additional facilities owned and loaned rent free are used to house 15% of total holdings

Existing environmental controls:

85% year-round temperature controls

85% year-round humidity controls

85% fire detection

0% fire suppression

State Records Center

(owned by state, no rent or maintenance charged to SARA)

Constructed: 1967

Total storage capacity: 226,000 cu. ft.

Percent now occupied: 95%

Already full to capacity

Additional rented facility is used to house 1% of holdings.

Existing environmental controls:

100% year-round temperature controls

100% year-round humidity controls

100% fire detection

100% fire suppression

SERVICES TO STATE AND LOCAL GOVERNMENT AGENCIES

Technical assistance provided by SARA (FY 1994):

No. completed	46	(state agencies)
	22,436	(local govt officials)
No. of agencies served	26	(state agencies)
	4,341	(local govt officials)

No. of local government units (1992):

57	counties	714	school districts
620	municipalities	998	special districts
929	townships		

Services to state agencies

- Training and consultation
- Publications
- Conservation/preservation advisory services
- Micrographics services

Services to local governments:

- Training and consultation
- Publications
- Grants

Services to nongovernment repositories

- Training and consultation
- Publications
- Grants

MICROGRAPHICS



Microfilming activities by SARA (FY 1994)

Source document microfilming	21,815	images
Processing	41	rolls

SARA provides centralized micrographics services for oversize materials only to state government agencies.

SARA has not experienced redox problems.

SARA stores security microfilm for state and local government agencies.

PRESERVATION POLICIES AND SERVICES



Preservation activities by SARA (FY 1994)

3,144	items received major treatments
328	items received minor treatments
2,692	items rehoused

SARA has a written preservation plan and a written disaster plan.

SARA has a preservation officer and employs a trained, full-time conservator.

New York does not have a statewide preservation plan or a disaster response team.

AUTOMATED APPLICATIONS**SARA uses automated applications for the following:**

Finding aids	Word Perfect, gopher
Accessioning	SPSS/PC, dBase III
Inventory control	Fox Pro
Records scheduling	dBase III
Correspondence	Word Perfect
Bookkeeping	Lotus
Publications	Word Perfect, WP
Presentations,	By Design
Indexes	Fox Pro, dBase III
Internet access	PC/TCP

Electronic Mail

SARA staff can communicate within the agency, with other state government agencies, and with outsiders via the Internet.

NASIRE reports that New York is moving to a major government-wide e-mail system.

ELECTRONIC RECORDS

SARA has an electronic records management program that is both integrated with its regular program and set up as a separate program.

SARA has surveyed/inventoried and scheduled dispositions for electronic records.

SARA provides security storage for and has accessioned electronic records.

SARA provides reference access to and performs preservation work on electronic records.

SARA recently issued a report of a survey from its NHPRC-funded "Building Partnerships" project which is intended to develop records management and archival programs that respond to agency needs and reflect current technology.

The survey was designed to analyze information management practices in state agencies. The report summarizes effective practices now in place and recommends options for improving the management and preservation of electronic records in New York State government. The project also developed an alternative program model for the state archives that stresses measurable outcomes, policy development, and service to customers. [NHPRC, Annotations, April 1995]

Key initiatives by SARA regarding electronic records:

Completed NHPRC-funded "Building Partnerships" project (see summary above) Increased service delivery to state agencies in areas of imaging and evaluation of automated and manual records systems to meet recordkeeping requirements. Began process to improve accessioning process for electronic records through revised procedures and new methods and tools.

Key initiatives by SARA regarding electronic records, cont.

Developed knowledge-base and draft technical pamphlet on document management software and on how it can be used to achieve recordkeeping objectives.

Completed development of recordkeeping requirements system evaluation services including an evaluation form.

Developed services to help agencies manage records communicated in e-mail including a series of workshops and draft published guidelines.

Began implementing electronic record preservation program.

Launched effort to promote electronic records holdings including the issuance of a press release, publication of an information brochure, and the posting of announcements on listserv and electronic bulletin boards.

SARA issued regulations and guidelines for local governments covering replacement of original records with electronic images, and retention and preservation of electronic records.

SARA conducts workshops on managing electronic records, introduction of document imaging systems, and managing the conversion of paper and micrographics backfiles to support the implementation of document imaging systems.

SARA published anthologies on records issues associated with imaging systems/optical storage and with GIS.

SARA funded grants addressing records management issues and such technologies as electronic data interchange (EDI) for county boards of elections; GIS in town, village, and county governments; migration to new platforms for electronic business records; and student databases for school districts.

RECORDS-RELATED LEGISLATION, REGULATIONS, AND GUIDELINES



Definition of a record

1950 and 1971 statutes for state government (original legislation) and 1987 (rev.) statute for local governments. Subsequent guidelines issued (1992). Includes electronic records.

Public's right to access to government records

provided in statute.

Restrictions to specific classes of records

provided, no time limits set.

Permanent paper standards

Proposed statute under development

Optical imaging standards

None

Admissibility of microfilm

1973 statute (rev.), 1993 regulations for local governments

Admissibility of optical images

1973 statute (rev.), 1992 guidelines

Admissibility of electronic records

1973 statute (rev.), 1994 guidelines Note: All of the above are governed by federal and state rules of evidence in code of civil practice, etc. NY Rules of Evidence law was updated in 1973.

Theft/defacement of a public record

None

Replevin

1971 statute

INFORMATION POLICY AND INFORMATION INFRASTRUCTURE INITIATIVES

Information Resource Management

No official program but some work carried out by a voluntary forum supported by agency fees; SARA is active in the state's IRM work.

Information Policy Coordination

No activity reported

Government Information Locator Service

<http://unix2.nysed.gov.ils>

Electronic Access to Government Information and Services

NASIRE reports that an interagency working group is studying electronic access.

NGA reports that New York has established the Center for Technology in Government, a statewide initiative to improve government operations and public services through innovative applications of information technology. In addition, there are touch-screen information services on job openings and labor markets, a bulletin board system assists local governments in improving financial management practices, and the Division of Human Rights developed an imaging/OCR systems to scan case decisions into a central database.

State Government Information Locator
gopher://unix2.nysed.gov:71/

SPECIAL PROJECTS AND PROGRAM HIGHLIGHTS



On-line directory of state government information

[NAGARA Clearinghouse 10:1 (Winter 1994)]

New publications

[NAGARA Clearinghouse 10:1 (Winter 1994)]

[NAGARA Clearinghouse 10:2 (Spring 1994)]

[NAGARA Clearinghouse 10:4 (Fall 1994)]

[NAGARA Clearinghouse 11:1 (Winter 1995)]

[NAGARA Clearinghouse 11:2 (Spring 1995)]

Local government electronic link

[NAGARA Clearinghouse 10:2 (Spring 1994)]

[NAGARA Clearinghouse 11:2 (Spring 1995)]

Local Government Records Management Improvement Fund Grants

[NAGARA Clearinghouse 10:2 (Spring 1994)]

Archives Partnership Trust

[NAGARA Clearinghouse 10:2 (Spring 1994)]

Documentary Heritage Program

[NAGARA Clearinghouse 10:3 (Summer 1994)]

General Records Schedule published

[NAGARA Clearinghouse 10:4 (Fall 1994)]

Governor's Records Law

[NAGARA Clearinghouse 11:2 (Spring 1995)]

Durable media bill

[NAGARA Clearinghouse 11:2 (Spring 1995)]

SHRAB ACTIVITIES



With a grant from the NHPRC, NY SHRAB is continuing its efforts to develop strategies that relate historical records access issues to telecommunications technologies and to broader issues affecting libraries and researchers. It is also working with a public relations firm to address issues relating to advocacy and awareness of historical records.

FOR FURTHER INFORMATION

**State Archives and Records Management**

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Notes

Program elements included in Archives and Records Management budget and FTE figures: In addition to core elements found in most state archives programs (records scheduling, appraisal, accessioning, processing, archival description and reference, and training), the New York budget and personnel figures also cover

- consultation, technical assistance to local governments
- preservation microfilming,
- records preservation
- records center (state records only)
- consultation and grants for nongovernment records repositories

New York budget figures include \$9 million in pass-through grants to local governments and historical repositories.

NYSARA must pay \$150,000 in space charges for auxiliary records center facility.

Abbreviations/Acronyms

COM	Computer output microfilm
COSHR	Council of State Historical Records Coordinators
FTEs	Full time equivalent staff positions
SHRAB	State Historical Records Advisory Board
N/A	Not available
NAGARA	National Association of Government Archives and Records Administrators
NASIRE	National Association of State Information Resources Executives
NGA	National Governor's Association
NHPRC	National Historical Publications and Records Commission
RLIN	Research Libraries Information Network
SHRAB	State Historical Records Advisory Board

Sources

Unless otherwise specified below, all information in this profile was provided by the State Archives and/or Records Management offices in the state. Most 1994 data was collected on the Joint Survey administered by the National Association of Government Archives and Records Administrators (NAGARA) and the Council of State Historical Records Coordinators (COSHR). Additional information was collected from state-issued newsletters and publicity materials, the NAGARA newsletter, *Clearinghouse*, and interviews with state personnel.

Contact for the COSHR report: Thomas E. Mills (see address above).

Estimated State Population (July 1, 1994):
 Estimates were published in the Census Bureau newsletter, *Census and You* (January 1995): 3. The numbers include Armed Forces personnel residing in each state.

State Government Finances, Employment, and Earnings Data:

U.S. Bureau of the Census, State Finances: 1993, Public Employment: 1992.

Number of local government units: U.S. Bureau of the Census, 1992 Census of Governments, *Government Organization*.

E-mail and Information Policy and National Information Infrastructure

NASIRE, "Development of the National Information Infrastructure: Issues of State and Local Governments," Issue Focus Report (April 1994):9, 15; NGA, "Technology Inventory," *Government Technology* ((May 1995): 36-40, National Assn of State Directors of Administration and General Services, "Survey of Technologies Accessible to State Agencies," *Government Technology* (May 1995): 52, "Internet Connections to State Government," *Government Technology* (May 1995):62.